



5-9-03

1642

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of: Needleman et al.

Serial No.: 09/387,340

Filed: August 31, 1999

Entitled: AN IMMUNOLOGICAL PROCESS AND  
CONSTRUCTS FOR INCREASING THE HDL  
CHOLESTEROL CONCENTRATION

Examiner: M. Davis

Art Unit: 1642

Attorney Docket No.: AVA-432.0 US-1

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

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TRANSMITTAL LETTER

Sir:

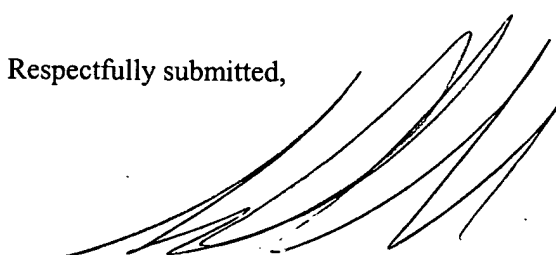
Transmitted herewith are: [X] a Supplemental Information Disclosure Statement (IDS) under 37 CFR §§ 1.56, 1.97 and 1.98; [X] Form PTO-1449 Information Disclosure Statement; [X] photocopies of the disclosed documents, to be filed in the above-identified patent application; and [X] a return receipt post card.

PAYMENT OF FEES

[ ] A check in the amount of \$ \_\_\_\_\_ (check no. \_\_\_\_\_) in payment of the fee for submission of an information disclosure statement transmitted herewith.

[X] The Commissioner is hereby authorized to charge payment of any additional fees required under 37 CFR §§ 1.16 or 1.17 in connection with the paper(s) transmitted herewith, or to credit any overpayment of same, to Deposit Account No. 50-0268. A duplicate copy of this transmittal letter is transmitted herewith.

Respectfully submitted,



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**CERTIFICATE OF MAILING**

The undersigned hereby certifies that this correspondence is being deposited with the U.S. Postal Service as Express mail, in an envelope addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date indicated below.

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May 7, 2003  
Date

Melanie A. McFadden  
Melanie A. McFadden



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**SUPPLEMENTAL INFORMATION DISCLOSURE  
STATEMENT UNDER 37 CFR §§ 1.56, 1.97 AND 1.98**

Sir:

In accordance with the duty of disclosure under 37 CFR § 1.56, Applicants submit this Information Disclosure Statement pursuant to 37 CFR §§ 1.97 and 1.98 in the above-identified application for consideration by the Patent Office. A listing of the cited document is also enclosed, as well as, for the Examiner's convenience, a copy of the document in the list. This paper is being filed pursuant to 37 CFR § 1.97(c) along with the fee set forth in 37 CFR § 1.17(p), to secure consideration in the USPTO of documents cited by the European Patent Office in a corresponding foreign application.

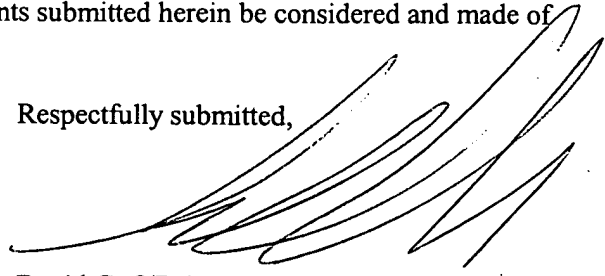
**US Patent Documents**

US 6,410,022 issued June 25, 2002, Rittershaus; and  
US 6,555,113 issued April 29, 2003, Rittershaus et al.

Applicants do not intend to represent that the document submitted herein is material prior art to this invention or that the list represents an exhaustive search of documents related to this invention.

Applicants respectfully request that the documents submitted herein be considered and made of record in this application.

Respectfully submitted,



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May 7, 2003  
Date

Melanie A. McFadden  
Melanie A. McFadden



<b>Modified FORM PTO-1449</b>	<b>ATTY. DOCKET NO.</b> AVA-432.0 US-1	<b>SERIAL NO.</b> 09/387,340
<b>LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT</b>	<b>APPLICANT</b> Needleman et al.	
(Use several sheets if necessary)	<b>FILING DATE</b> August 31, 1999	<b>GROUP</b> 1642

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**REFERENCE DESIGNATION****U.S. PATENT DOCUMENTS**

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	US 6,410,022	06/25/02	Rittershaus			
	AB	US 6,555,113	04/29/03	Rittershaus et al.			

**FOREIGN PATENT DOCUMENTS**

		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	TRANSLATION YES NO	

**OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)**

<b>EXAMINER</b>	<b>DATE CONSIDERED</b>

**EXAMINER:** Initial if reference considered, whether or not citation is in conformance with MPEP §609.  
Draw line through citation if not in conformance and not considered. Include copy of this form with  
next communication to Applicant.

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